

Form PT0-1390 (REV 12-2001)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY'S DOCKET NUMBER 2060.0030006/EKS/HCC	
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371				U.S. APPLICATION NO. (IF KNOWN, SEE 37 C.F.R. § 1.5) 10/031,345	
INTERNATIONAL APPLICATION NO PCT/US00/19774		INTERNATIONAL FILING DATE 19 July 2000		PRIORITY DATE CLAIMED 19 July 1999	
TITLE OF INVENTION <i>Inducing Cellular Immune Responses To Hepatitis C Virus Using Peptide and Nucleic Acid Compositions</i>					
APPLICANT(S) FOR DO/EO/US Alessandro SETTE, John SIDNEY, Scott SOUTHWOOD, Brian D. LIVINGSTON, Robert CHESNUT, Denise Marie BAKER, Esteban CELIS, Ralph T. KUBO, and Howard M. GREY					
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:					
<ol style="list-style-type: none"> 1. <input type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. 2. <input checked="" type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. 3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. 4. <input type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (PCT Article 31). 5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <ol style="list-style-type: none"> a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). <ol style="list-style-type: none"> a. <input type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input type="checkbox"/> Amendments to the claims of the International application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 372(c)(3)). 9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). 					
Items 11 to 20 below concern other document(s) or information included: <ol style="list-style-type: none"> 11. <input type="checkbox"/> An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98. 12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included. 13. <input type="checkbox"/> A FIRST preliminary amendment. 14. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment. 15. <input type="checkbox"/> A substitute specification. 16. <input type="checkbox"/> A change of power of attorney and/or address letter. 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825. 18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). 20. <input type="checkbox"/> Other items or information: 					

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U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.50) 10/031,345		INTERNATIONAL APPLICATION NO. PCT/US00/19774		ATTORNEY'S DOCKET NUMBER 2060.0030006/EKS/HCC	
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21. <input checked="" type="checkbox"/> The following fees are submitted:				CALCULATIONS PTO USE ONLY	
Basic National Fee (37 CFR 1.492(a)(1)-(5)): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO \$1040.00					
International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$890.00					
International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$740.00					
International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$710.00					
International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) \$ 100.00					
ENTER APPROPRIATE BASIC FEE AMOUNT =				\$0	
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$0	
Claims	Number Filed	Number Extra	Rate		
Total Claims	- 20 =		X \$18.00	\$0	
Independent Claims	- 3 =		X \$84.00	\$0	
Multiple dependent claim(s) (if applicable)			+ \$280.00	\$0	
TOTAL OF ABOVE CALCULATIONS =				\$0	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$0	
SUBTOTAL =				\$0	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$0	
TOTAL NATIONAL FEE =				\$0	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				\$40.00	
TOTAL FEES ENCLOSED =				\$40.00	
				Amount to be refunded:	\$
				charged:	\$

a. ☒ A check in the amount of \$40.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 19-0036. A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit Under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

CUSTOMER NUMBER 26111
 STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.
 1100 New York Avenue, NW, Suite 600
 Washington, D.C. 20005-3934

 Helene C. Carlson
 NAME

47.473
 REGISTRATION NUMBER

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 SKGF_DC1:36956.1 SKGF Rev. 4/8/02 mac

RECORDATION FORM COVER SHEET
PATENTS ONLY

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

- 1) Alessandro SETTE
- 2) John SIDNEY
- 3) Scott SOUTHWOOD
- 4) Denise Marie BAKER
- 5) Ralph T. KUBO
- 6) Brian D. LIVINGSTON
- 7) Robert CHESNUT
- 8) Esteban CELIS
- 9) Howard M. GREY

Additional name(s) of conveying party(ies) attached? ☐ yes ☒ no

2. Name and address of receiving party(ies):

Name: Epimmune Inc.

Street Address: 5820 Nancy Ridge Drive

City: San Diego State: California Zip Code: 92121

Country: U.S.A.

Additional name(s) & address(es) attached? ☐ yes ☒ no

3. Nature of Conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

Execution Date: 1) June 20, 2002; 2) May 29, 2002;
3) May 29, 2002; 4) June 28, 2002; 5) June 13, 2002;
6) June 20, 2002; 7) June 20, 2002; 8) June 7, 2002; and
9) June 7, 2002

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is _____

A. Patent Application No. 10/031,345

B. Patent No(s).

Additional numbers attached? ☐ yes ☒ no

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Sterne, Kessler, Goldstein & Fox P.L.L.C.

Internal Address: c/o Helene C. Carlson

Street Address: 1100 New York Ave., N.W.
Suite 600

City: Washington State: D.C. Zip Code: 20005-3934

6. Total number of applications and patents involved: 1

7. Total fee (37 C.F.R. § 3.41).....\$ 40.00

☒ Enclosed

☐ Authorized to be charged to Deposit Account

8. Deposit Account Number:

19-0036

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Helene C. Carlson
Name of Person Signing
Registration No. 47,473


Signature

8/29/02
Date

Total number of pages including cover sheet, attachments and document 6

09/04/2002 6P REY1 00000015 10031345

01 FC:581

40.00 OP

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents and Trademarks, Box Assignments
Washington, D.C. 20231

ASSIGNMENT

In consideration of the sum of One Dollar (\$1.00) or equivalent and other good and valuable consideration paid to each of the undersigned inventors: 1) Alessandro SETTE, 2) John SIDNEY, 3) Scott SOUTHWOOD, 4) Brian D. LIVINGSTON, 5) Robert CHESNUT, 6) Denise Marie BAKER, 7) Esteban CELIS, 8) Ralph T. KUBO, and 9) Howard M. GREY, the undersigned inventors hereby sells and assigns to Epimmune Inc. (the Assignee) his/her entire right, title and interest, including the right to sue for past infringement and to collect for all past, present and future damages:

check applicable box(es)

☒ for the United States of America (as defined in 35 U.S.C. § 100),

☒ and throughout the world.

(a) in the invention known as **Inducing Cellular Immune Responses To Hepatitis C Virus Using Peptide And Nucleic Acid Compositions** for which application(s) for patent in the United States of America has (have) been executed by the undersigned on

1) 06/20/02 2) 05/29/02 3) 05/29/02

4) 06/20/02 5) 06/20/02 6) 06/28/02

7) 06/07/02 8) 06/04/02 and 9) 06/05/02

(also known as United States Application No. 10/031,345, filed January 18, 2002), which is the U.S. National Phase of PCT/US00/19774, International Filing Date July 19, 2000, in any and all applications thereon, in any and all Letters Patent(s) therefor, and

(b) in any and all applications that claim the benefit of the patent application listed above in part (a), including continuing applications, reissues, extensions, renewals and reexaminations of the patent application or Letters Patent therefor listed above in part (a), to the full extent of the term or terms for which Letters Patents issue, and

(c) in any and all inventions described in the patent application listed above in part (a), and in any and all forms of intellectual and industrial property protection derivable from such patent application, and that are derivable from any and all continuing applications, reissues, extensions, renewals and reexaminations of such patent application, including, without limitation, patents, applications, utility models, inventor's certificates, and designs together with the right to file applications therefor; and including the right to claim the same priority rights from any previously filed applications under the International Agreement for the Protection of Industrial Property, or any other international agreement, or the domestic laws of the country in which any such application is filed, as may be applicable;

all such rights, title and interest to be held and enjoyed by the above-named Assignee, its successors, legal representatives and assigns to the same extent as all such rights, title and interest would have been held and enjoyed by the Assignor had this assignment and sale not been made.

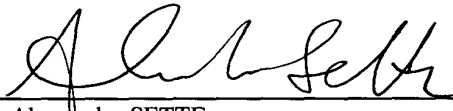
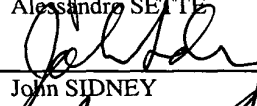
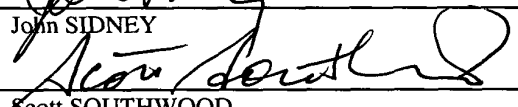
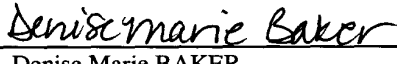
The undersigned inventor(s) agree(s) to execute all papers necessary in connection with the application(s) and any continuing (continuation, divisional, or continuation-in-part), reissue, reexamination or corresponding application(s) thereof and also to execute separate assignments in connection with such application(s) as the Assignee may deem necessary or expedient.

The undersigned inventor(s) agree(s) to execute all papers necessary in connection with any interference or patent enforcement action (judicial or otherwise) related to the application(s) or any continuing (continuation, divisional, or continuation-in-part), reissue or reexamination application(s) thereof and to cooperate with the Assignee in every way possible in obtaining evidence and going forward with such interference or patent enforcement action.

The undersigned inventor(s) hereby represent(s) that he/she has full right to convey the entire interest herein assigned, and that he/she has not executed, and will not execute, any agreement in conflict therewith.

The undersigned inventor(s) hereby grant(s) Robert Greene Sterne, Esquire, Registration No. 28,912; Edward J. Kessler, Esquire, Registration No. 25,688; Jorge A. Goldstein, Esquire, Registration No. 29,021; David K.S. Cornwell, Esquire, Registration No. 31,944; Robert W. Esmond, Esquire, Registration No. 32,893; Tracy-Gene G. Durkin, Esquire, Registration No. 32,831; Michele A. Cimbala, Esquire, Registration No. 33,851; Michael B. Ray, Esquire, Registration No. 33,997; Robert E. Sokohl, Esquire, Registration No. 36,013; Eric K. Steffe, Esquire, Registration No. 36,688; Michael Q. Lee, Esquire, Registration No. 35,239; Steven R. Ludwig, Esquire, Registration No. 36,203; John M. Covert, Esquire, Registration No. 38,759; Linda E. Alcorn, Esquire, Registration No. 39,588; Lawrence B. Bugaisky, Esquire, Registration No. 35,086; Donald J. Featherstone, Esquire, Registration No. 33,876; and Robert C. Millonig, Esquire, Registration No. 34,395, all of STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C., 1100 New York Avenue, N.W., Suite 600, Washington, D.C. 20005-3934, and Joseph J. Kenny, Esquire, Registration No. 43,710 of Epimmune Inc., power to insert in this assignment any further identification that may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

IN WITNESS WHEREOF, executed by the undersigned inventor(s) on the date opposite his/her name.

Date: <u>6/20/02</u>	Signature of Inventor: <u></u> Alessandro SETTE
Date: <u>5/29/02</u>	Signature of Inventor: <u></u> John SIDNEY
Date: <u>5/29/02</u>	Signature of Inventor: <u></u> Scott SOUTHWOOD
Date: _____	Signature of Inventor: _____ Brian D. LIVINGSTON
Date: _____	Signature of Inventor: _____ Robert CHESNUT
Date: <u>6/28/02</u>	Signature of Inventor: <u></u> Denise Marie BAKER
Date: _____	Signature of Inventor: _____ Esteban CELIS
Date: _____	Signature of Inventor: _____ Ralph T. KUBO
Date: _____	Signature of Inventor: _____ Howard M. GREY

SKGF_DC1:17188.1

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IN WITNESS WHEREOF, executed by the undersigned inventor(s) on the date opposite his/her name.

Date: _____ Signature of Inventor: _____

Alessandro SETTE

Date: 5/29/02 Signature of Inventor: _____

John SIDNEY

Date: 5/29/02 Signature of Inventor: _____

Scott SOUTHWOOD

Date: _____ Signature of Inventor: _____

Brian D. LIVINGSTON

Date: _____ Signature of Inventor: _____

Robert CHESNUT

Date: _____ Signature of Inventor: _____

Denise Marie BAKER

Date: 6/7/02 Signature of Inventor: _____

Esteban CELIS

Date: 6/13/02 Signature of Inventor: _____

Ralph T. KUBO

Date: _____ Signature of Inventor: _____

Howard M. GREY

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Date: <u>5/29/02</u>	Signature of Inventor: _____ John SIDNEY
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Date: <u>6/20/02</u>	Signature of Inventor: _____ Brian D. LIVINGSTON
Date: <u>X 6/20/02</u>	Signature of Inventor: _____ Robert CHESNUT
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Date: _____ Signature of Inventor: _____

Esteban CELIS

Date: _____ Signature of Inventor: _____

Ralph T. KUBO

Date: 6/7/02 Signature of Inventor: _____

Howard M. GREY

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